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UNITED STATES DISTRICT COURT
NORTHERN DISTRICT OF CALIFORNIA

8 KARL FINLEY, No. C-07-5922 EMC
9 Plaintiff,
10 v.
11 COUNT OF MARTIN, *et al.*,
12 Defendants. **ORDER RE JOINT
OCTOBER 2, 2009**
(Docket No. 78)

**ORDER RE JOINT LETTER OF
OCTOBER 2, 2009**

15 The parties have filed a joint letter, dated October 2, 2009, regarding several discovery
16 disputes. Having considered the parties' letter and accompanying submissions, as well as all other
17 evidence of record, the Court hereby rules as follows.

18 A. Depositions of Ms. Zamorano and Ms. Grant

19 || 1. Ms. Zamorano

20 The Court finds that Plaintiff failed to properly subpoena Ms. Zamarano for deposition.
21 Federal Rule of Civil Procedure 45(a)(1) provides that “[e]very subpoena must . . . set out the text of
22 Rule 45(c) and (d),” which discuss protections due a person subject to a subpoena and a person’s
23 duties in responding to a subpoena. Fed. R. Civ. P. 45(a)(1). “Inclusion of the text of subdivisions
24 (c) and (d) in every subpoena ensures that the recipient of the subpoena is fully aware of both the
25 available options that may be exercised in contesting the subpoena as well as the recipient’s
26 obligations in responding to the subpoena.” *Elam v. Ryder Auto. Operations*, 179 F.R.D. 413, 415
27 (W.D.N.Y. 1998).

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1 Plaintiff has failed to provide sufficient evidence establishing that the subpoena served on
2 Ms. Zamarano included this text. The documentation presented to the Court did not contain the
3 requisite text of Rule 45(c) and (d). The supplemental declaration of Joseph G. Haynes submitted
4 *after* the hearing is not only untimely, but fails to establish the process server did in fact include that
5 page with the service copy. Accordingly, the subpoena is defective. *See, e.g., Anderson v. Gov't of*
6 *the V.I.*, 180 F.R.D. 284, 290 (D.V.I. 1998) (quashing subpoena because, *inter alia*, it did not
7 include the text of Rule 45(c) and (c) as required by the rule).

8 Moreover, irrespective of whether Ms. Zamorano was properly subpoenaed, Plaintiff was
9 required to meet and confer with Defendant about the scheduling of Ms. Zamorano's deposition
10 because she is a witness affiliated with Defendant. *See Civ. L.R. 30-1* ("For the convenience of
11 witnesses, counsel and parties, before noting a deposition of a party or witness affiliated with a
12 party, the noticing party must confer about the scheduling of the deposition with opposing counsel . . .
13 . . ."). It does not appear that Plaintiff did so.

14 Accordingly, the Court concludes that Plaintiff is not entitled to depose Ms. Zamorano. The
15 Court also notes that there is nothing in the record to indicate that Ms. Zamorano is a critical witness
16 to depose. Of course, nothing in this order bars Plaintiff from subpoenaing Ms. Zamorano as a
17 witness for trial.

18 2. Ms. Grant

19 The issue here is whether Ms. Grant is a managing agent of Defendant. If so, then the
20 deposition notice sent by Plaintiff was adequate to secure her deposition; if not, then she should have
21 been subpoenaed.¹ Plaintiff has "the burden of providing enough evidence to show that there is at
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23 ¹ See 8A Wright & Miller Fed. Prac. & Proc. § 2103 ("A distinction must . . . be drawn between
24 a mere corporate employee and those who may be regarded as speaking for the corporation. Except
25 where the employee has been designated by the corporation under Rule 30(b)(6), an employee is treated
26 in the same way as any other witness. His or her presence must be obtained by subpoena rather than
27 by notice, sanctions cannot be imposed against the corporation if he or she fails to appear, and the
28 deposition is not considered to be that of the corporation and is usable only under the same
circumstances as that of any other nonparty witness. It is different if the deponent is an officer, director,
or managing agent of a corporation or other organization that is a party to the suit. . . . [T]he corporation
is responsible for producing its officers, managing agents, and directors if notice is given; a subpoena
for their attendance is unnecessary, and sanctions may be imposed against the corporation if they fail
to appear.").

United States District Court
For the Northern District of California

1 least a close question whether [Ms. Grant] is a managing agent.” *General Tire v. Broad Elm Auto*
2 *Ctrs.*, No.:94-cv-960A, 1997 U.S. Dist. LEXIS 22814, at *6 (W.D.N.Y. Apr. 18, 1997); *see also*
3 *Richard Wolf Medical Instruments Corp. v. Dory*, No. 87 C 1254, 1989 U.S. Dist. LEXIS 5239, at
4 *11 (N.D. Ill. May 8, 1989) (concluding that defendants did not meet their burden in showing that
5 witness was managing agent for plaintiff).

6 Here, Plaintiff has failed to meet that burden. She contends that Ms. Grant is a managing
7 agent solely because of her title, *i.e.*, nurse manager. However, the fact that Ms. Grant has the word
8 “manager” in her title is not enough to establish that she is a managing agent. *See* Moore’s Fed.
9 Prac. -- Civ. § 30.03[2] (noting that the following test is typically used to determine whether an
10 individual is a managing agent: “[f]irst, the individual should possess general powers to exercise
11 judgment and discretion in corporate matters”; “[s]econd, the individual should be a person who can
12 be relied on to give testimony, at the employer’s request, in response to the demand of the
13 examining party”; and “[t]hird, the individual should be a person who can be expected to identify
14 with the interests of the corporation”); 8A Wright & Miller Fed. Prac. & Proc. § 2103 (noting that,
15 generally, “the courts look to see if the individual involved is invested by the corporation with
16 general powers to exercise his discretion and judgment in dealing with corporate matters, whether he
17 or she can be depended upon to carry out the employer’s direction to give testimony at the demand
18 of a party engaged in litigation with the employer, and whether he or she can be expected to identify
19 with the interests of the corporation rather than with those of the other parties”).

20 Accordingly, the Court concludes that Plaintiff is not entitled to depose Ms. Grant. The
21 Court also notes that, even though Ms. Grant is a relevant witness in the lawsuit, as she was the
22 person to be promoted to the position sought by Plaintiff, the key question in the case appears to turn
23 more on the information about Ms. Grant considered by the people making the challenged hiring
24 decision than on facts about which Ms. Grant might testify. As above, nothing in this order bars
25 Plaintiff from subpoenaing Ms. Grant as a witness for trial.

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1 B. 30(b)(6) Deposition of Defendant2 1. Discrimination History and Complaints

3 The deposition topic as phrased is overbroad. The topic shall be narrowed both in terms of
4 time frame and subject matter. Defendant shall produce a witness who can testify as to
5 discrimination complaints made (1) within two years of the alleged discrimination at issue in the
6 instant case (either before or after) and (2) which involved at least one of the persons who made the
7 decision not to promote Plaintiff.

8 2. Investigation of Plaintiff's Internal Complaints

9 Defendant shall produce a witness on this deposition topic. Because Defendant has produced
10 the investigation file to Plaintiff, the Court does not see what privilege is left to claim. The witness
11 designated by Defendant "must testify about information known or reasonably available to
12 [Defendant]." Fed. R. Civ. P. 30(b)(6). The witness will not be adequately prepared if all that he or
13 she does is review the report prepared by Ms. Daube, the attorney who conducted the investigation.
14 Defendant may, but at this point is not required, to produce Ms. Daube as its 30(b)(6) witness on this
15 topic. If Defendant does not produce an adequate witness, the Court will entertain a request to
16 compel Ms. Daube's deposition.

17 3. Selection of Nurse Manager in 2006

18 Defendant shall produce Ms. Martinez for a continued deposition. However, at least a week
19 before the deposition takes place, Plaintiff shall provide to Defendant a list of *specific* topics on
20 which he seeks additional information so that Ms. Martinez may be reasonably prepared for the
21 continued deposition. The deposition shall not exceed three-and-a-half (3.5) hours.

22 4. Continued Deposition of 30(b)(6) Witness Ms. Colton

23 Plaintiff may continue the deposition of Ms. Colton for an additional three (3) hours.

24 C. Production of Documents

25 Plaintiff has identified seven categories of documents, mentioned during the deposition of
26 Ms. Martinez, which he argues should have been produced by Defendant. These documents are, for
27 the most part, relevant to the instant case. The majority appear responsive to document requests
28 propounded by Plaintiff more than a year ago. Others are responsive to document requests included

1 in a deposition notice. Although, with respect to the deposition notice, Plaintiff does not seem to
2 have given Defendant sufficient time to produce documents, the Court concludes that the documents
3 should -- with one exception -- still be produced since trial is not until February 2010 and Plaintiff is
4 seeking only a limited set of documents already identified by the deponent.

5 The Court concludes that all documents itemized in Plaintiff's letter of October 7, 2009, *see*
6 Docket No. 83, should be produced, except that Defendant need not produce the entirety of the
7 personnel files of the three candidates at issue. Rather, Defendant should produce from the
8 personnel files only those documents (1) relating to the selection process or to the employee's work
9 performance and (2) dated prior to the date that Ms. Grant was selected for the position.

10 D. Plaintiff's Request for Sanctions

11 Plaintiff's request for sanctions is denied. Defendant's positions on the various discovery
12 disputes discussed above were not unreasonable.

13 E. Plaintiff's Responses to Defendant's Written Discovery

14 1. Rogs Nos. 12-22 (Set Two)

15 Plaintiff shall supplement its responses to these interrogatories. A narrative is required rather
16 than simply a reference to documents, particularly given Defendant's definition of "SPECIFY THE
17 EVIDENCE."

18 2. Rogs Nos. 25-29, 32, and 34 (Set Three)

19 Plaintiff shall respond to these interrogatories. Plaintiff's participation in coaching football
20 may have been a basis for Defendant's not promoting him, giving him a negative evaluation, or

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1 otherwise disciplining him. Plaintiff may argue that this was not actually a consideration of the
2 decisionmakers in the instant case, but, at least for purposes of discovery, the information sought is
3 relevant.

4 This order disposes of Docket No. 78.

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6 IT IS SO ORDERED.

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8 Dated: October 13, 2009

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EDWARD M. CHEN
United States Magistrate Judge